

# Wisconsin Highway Research Program

## Researcher Information Packet



## Table of Contents

WHRP Contacts .....	1
Project Administration and Evaluation .....	2
Quarterly Reports.....	2
Invoicing .....	4
WHRP Policy for Cost Overruns .....	4
No-Cost Time Extensions .....	4
Project Closeout .....	7
Draft Final Report .....	7
Project Closeout Presentation .....	7
Final Report Requirements .....	7

## WHRP Contacts

**Table 1: Summary of Contacts for WHRP Research Projects**

Role	Name	E-mail	Phone
POC Chair	varies by project		
WHRP Technical Director	Angela Pakes Ahlman	apakes@sustainability.wisc.edu	608-890-4966
WisDOT Contracts Specialist	Jennifer Walejko	research@dot.wi.gov	608-267-2828

### Definitions:

- **TOC Chair:** TOC is an acronym used for Technical Oversight Committee. WHRP has four TOCs related to the following areas in transportation infrastructure: Flexible Pavements, Rigid Pavements, Geotechnics, and Structures. The Chair of the committee is responsible for providing leadership and strategic direction. TOC Chairs also serve as the contact person to the WHRP Steering Committee. TOC Chairs should be copied on WHRP related project correspondence.
- **POC Chair:** POC is an acronym for Project Oversight Committee. This committee is composed of members of the technical oversight committee and/or other interested industry, academic, or WisDOT members. The POC Chair serves as the main point of contact for the research project and assists the principal investigator in obtaining materials, coordinates access to field project, and brings pressing technical issues to the full TOC for discussion. In some cases, the TOC Chair serves as the leader of the POC.
- **POC Members:** Project oversight committee members support the POC Chair in providing technical oversight and coordination of the research project. The POC members will participate in technical project meetings and review project deliverables.
- **WHRP Technical Director:** The WHRP Technical Director is responsible for administration and day-to-day operation of the WHRP program. Investigators should contact the WHRP Technical Director with any administrative issues related to the research project including no-cost time extension requests and submittal of project deliverables. The Technical Director should be copied on all correspondence with the POC related to the research project.
- **WisDOT Contracts Specialist:** The WisDOT Contracts Specialist is an administrative liaison between the WHRP staff and WisDOT handling no-cost time extension requests, reviewing quarterly progress reports for invoice payment, and general invoice and accounting questions. The Contracts Specialist prepares all contracts, contract amendments, and related funding documentation for a research project. Quarterly progress reports should be emailed to the WisDOT Research mailbox, [research@dot.wi.gov](mailto:research@dot.wi.gov).
- **WHRP Director and WHRP Steering Committee Chair:** The Director and the Steering Committee Chair will be consulted for key project decisions, including approval of no-cost time extensions, changes to project budget and scope, and approval of changes to researcher project personnel.

## WHRP Project Administration and Evaluation

To ensure successful administration of a WHRP project, the research team is expected to provide the research deliverables specified in the contract work plan. In addition to overseeing the research, there are also a few necessary administrative tasks that the principal investigator (PI) will perform during the project that are outlined in the following pages.

At the conclusion of the research project, the PI will be evaluated by the TOC on their execution of these tasks, overall communication, technical quality, and project deliverables. This researcher evaluation ([WisDOT Form DT1238](#)) <http://www.dot.wisconsin.gov/forms/docs/dt1238.doc> will be reviewed during the RFP selection process when the PI is considered for future research projects with WHRP. A PI may request the results of their researcher evaluations for projects that close after January 1, 2013.

### **Task 1: Quarterly Reports** ([WisDOT Form DT1241](#))

WHRP contracts require quarterly technical progress reports (QPRs) that serve both technical and administrative functions. From a technical standpoint, the quarterly reporting allows for the POC to monitor the progress of the project and identify any technical challenges. Administratively, the quarterly reports serve as the mechanism for approval of invoices for payment and allow for tracking of project expenditures in comparison to the technical progress.

The quarterly report form is available for download on the Project Guidance page of the WisDOT Research website: Quarterly Report Template: <http://www.dot.state.wi.us/forms/docs/dt1241.doc>

### **Administrative Reporting Requirements**

The top section of the quarterly report template provides general project information. The information in the yellow-highlighted fields will most likely remain the same throughout the duration of the project and will be filled out in advance by the WisDOT Contracts Specialist. *(Note: QPR form revised in 2014. Be sure the form you are using has a yellow-highlighted section.)*

Definitions for the various fields are provided below:

- **WisDOT Project ID:** The WisDOT project ID is provided on the cover page of the contract and is in the form of 0092-XX-XX.
- **Administrative Contact:** Jennifer Walejko, Phone: 608-267-2828, Email: [research@dot.wi.gov](mailto:research@dot.wi.gov)
- **WisDOT Contact:** The POC Chair
- **Project Start Date:** The official start date of the project is from the award letter received with your contract. It is the date the contract was signed by WisDOT.
- **Original End Date:** Defined as the project start date plus the duration of the research project.
- **Current End Date:** Revised end date of the project due to no-cost time extensions or amendments.
- **Number of Extensions:** The number of no-cost time extensions or amendments for the project.

- **Project Schedule Status:** Based on actual vs. planned progress, indicate if the project is on, behind, or ahead of schedule. Select “on revised schedule” if the project timeline has changed based on an amendment or discussions with the Project Oversight Committee.
- **Project Budget Status:** Complete the project expenditures to date and the quarterly expenditures based on figures from your in-house accounting system. Percent work completed should be estimated based on the actual progress at the end of the quarter relative to the tasks defined by the work plan

### Technical Reporting Requirements

The narrative section of the QPR should be no longer than four (4) pages in order to facilitate timely review. The PI may be contacted by the WHRP Technical Director or designee regarding the research progress if it significantly diverges from the schedule in the current work plan.

- **Project Description:** Provide a brief description and state the overall objectives of the research project.
- **Progress This Quarter:** To facilitate review, please succinctly report progress based on the tasks described in the original or revised work plan.
- **Anticipated Work Next Quarter:** Identify the work plan tasks and specific details that will be worked on next quarter.
- **Circumstances Affecting Progress or Budget:** Identify any circumstances that have caused delays or any budgetary issues. The WHRP Technical Director and POC will use the information provided in this section to identify potential solutions to these problems or schedule a meeting to discuss issues further.
- **Insert Gantt Chart or Other Project Documentation:** Insert the Gantt chart submitted in the work plan or revised Gantt chart based on results of meetings with the POC.

### Quarterly Report Submittal Deadlines

To allow adequate time for review and compilation by WHRP Staff, researcher submittal deadlines are provided in Table 2.

**Table 2: Quarterly Reporting Submittal Deadlines**

Quarter	Period of Performance	Submittal Deadline
Quarter 1	January 1 – March 31	April 5 <sup>th</sup>
Quarter 2	April 1 – June 30	July 7 <sup>th</sup>
Quarter 3	July 1 – September 30	October 5 <sup>th</sup>
Quarter 4	October 1 – December 31	January 5 <sup>th</sup>

### Consequences for Late Submittal

Timeliness in submittal of project deliverables, including quarterly reports, is considered in evaluation of research proposals for new projects. Hence, continued tardiness in quarterly report submittal has the potential to negatively impact the ability of a researcher to receive future WHRP projects.

WisDOT will withhold payment of all invoices until quarterly reports are submitted and approved.

## **Task 2: Invoicing**

### **Frequency**

As stated in the basis of payment section of the contract, WisDOT requires invoices to be submitted quarterly because the quarterly progress reports are used as the mechanism to approve invoices. Payment of invoices received on a more frequent basis (i.e. monthly) or covering multiple quarters (i.e. May-July) will be held until the period of performance is covered by an approved QPR.

### **Mailing Address**

Invoices should be sent directly to the Wisconsin Department of Transportation at the address provided below:

Wisconsin Department of Transportation  
ATTN: Research Contract Specialist  
4802 Sheboygan Ave., Rm. 104  
P.O. Box 7915  
Madison, WI 53707-7915

### **10% Retainage**

Ten percent of the contract award will be withheld pending receipt of the final report from the researcher. Thus, any invoices received requesting payment for greater than 90% of the project award will not be paid until all deliverables have been received.

## **WHRP Policy for Cost Overruns**

All WHRP Projects are “Actual cost, not to exceed” contracts, thus the WHRP Technical Director and the Project Oversight Committee must be contacted before any costs exceeding the budget are incurred. A meeting with all parties may be held to discuss the nature of the cost overruns. As a result, the work plan may be adjusted to allow the project to stay within budget or a request for additional funds will be presented to the Technical Oversight Committee by the POC Chair. Under no circumstances will WHRP reimburse costs incurred by the researcher above and beyond the project award without prior authorization of WHRP Staff and the TOC. Any changes to the original contract require an approved contract amendment.

## **No-Cost Time Extensions (NCTE)**

It is the responsibility of the researcher to request a no-cost time extension. The request is initiated by electronic (or email) submittal of a No-Cost Time Extension Request ([WisDOT Form DT1243](#)), to the WHRP Technical Director. WHRP Policy requires that NCTE forms be submitted at least 60 days prior to the end date of the project. The request requires identification of the cause for delay and signature by both the principal investigator and the supervisor.

## Access to No-Cost Time Extension Request Form and Policy

Both the No-Cost Time Extension Form and Policy are available for download on the Project Guidance page of the WisDOT Research website:

- Policy: <http://wisdotresearch.wi.gov/wp-content/uploads/No-cost-time-extension-policy-FINAL.pdf>
- Form: <http://www.dot.wisconsin.gov/forms/docs/dt1243.doc>

## Reasons for Delays

- **Construction Delay:** Delay due to access to construction sites to complete the work plan.
- **Contract Execution/Signing Delay:** The project has been delayed due to contract negotiations or approval of contract amendments/no-cost time extension requests.
- **Data Access Delay:** The project has been delayed due to lack of access to WisDOT or national databases required for completion of a task identified in the work plan.
- **Final Report Review/Approval Delay:** Scheduling conflicts within the POC or TOC have delayed the project. Potential causes for these delays include the inability to schedule the project closeout presentation within the project time frame, or a request from the TOC for additional time to review the draft final report.
- **Interim Report Review/Approval Delay:** Delay due to POC or TOC review and approval of an interim report. Certain projects require approval of interim deliverables before the researcher is allowed to proceed with subsequent research tasks.
- **Medical Delay/Personal Emergency:** Issues unrelated to the project have caused a delay due to unavailability of key project personnel because of personal or medical issues.
- **Test Procedures Review Delay:** For research projects that involve non-standard or innovative test procedures, the POC/TOC has the option to require review of the proposed procedure prior to execution of the experimental matrix. Based on TOC availability and schedule, there is the potential for delays to be realized while obtaining proper approvals.
- **Testing/Data Collection Delay:** The research team has realized delays in testing or data collection due to staffing issues, equipment breakdowns, or inaccessibility to the materials required to complete the required testing.
- **Work Plan/Scope Modification:** Based on technical discussions with the POC, an extension is needed to complete the revised work plan.
- **Other:** When a delay does not fall into any of the aforementioned categories, please use the form to describe the circumstances which caused delays.

The No-Cost Time Extension Form is reviewed by both the Project Oversight Committee (POC) and WHRP Administration. These parties will review the validity of the no-cost time extension request and classify it as follows:

- **Approved and Acceptable:** The no-cost time extension request is approved and the reasons for delay deemed acceptable and inherent to the scheduling issues related to the conduct of research. An example of an acceptable delay is the inability to obtain access to field construction sites during the planned construction season.
- **Approved and Not-Acceptable:** The no-cost time extension request is approved, but the reason provided is either inadequate or unacceptable. An example of a not-acceptable reason for delay is a testing delay due to inadequate staff to complete the experimental matrix in the planned amount of time.

- **Not Approved and Not-Acceptable:** In this instance, a meeting will be called with the researcher, WHRP Staff, and the Project Oversight Committee (POC) to discuss the technical progress of the project, identify reasons for delay, and define an acceptable path forward.

As previously stated, timeliness of the researcher is considered in evaluation of proposals submitted for future research projects. Therefore, no-cost time extension requests deemed unacceptable will negatively impact the ability of the researcher to obtain funding for future WHRP funded research. Requests deemed acceptable have no impact on the evaluation of future proposals.

Please contact the WHRP Technical Director with any questions related to completion of the No-Cost Time Extension Form or No-Cost Time Extension Policy and Procedures.

## **Project Closeout**

### **Task 3: Submission of the Draft Final Report**

The researcher is required to submit the draft final report three months before the end date of the contract to allow time for review, revision, and scheduling of the project closeout presentation. The draft final report should include the following:

- Cover page: [http://wisdotresearch.wi.gov/wp-content/uploads/WisDOT-research-report-cover-WHRP\\_rev.pdf](http://wisdotresearch.wi.gov/wp-content/uploads/WisDOT-research-report-cover-WHRP_rev.pdf)
- Disclaimer page: <http://wisdotresearch.wi.gov/wp-content/uploads/Disclaimer-Language-WHRP.doc>
- Technical report documentation page: [http://wisdotresearch.wi.gov/wp-content/uploads/TechnicalDocumentationPage\\_2014rev.doc](http://wisdotresearch.wi.gov/wp-content/uploads/TechnicalDocumentationPage_2014rev.doc)
- Executive summary (follows the technical documentation page)
- Research report

### **Editorial Quality**

The researcher is expected to submit a draft final report with quality technical writing and proper grammar. It is acceptable to dedicate resources from your project for the services of a technical editor to ensure this requirement is met and should be included in the originally submitted budget.

### **Task 4: Project Closeout Presentation**

The researcher is required to provide a project closeout presentation to the Technical Oversight Committee responsible for funding the project. The presentation should provide a summary of the research efforts, emphasize significant findings, and recommend implementation activities as a result of the research.

- The TOC may invite other members of WisDOT or industry that may be interested in the research topic.
- Project closeout presentations may be recorded using GoTo Meeting and posted on the WisDOT Research website to increase access to the information and enhance technology



transfer. The researcher should contact the WHRP Technical Director with any concerns related to web casting/recording of the project closeout presentation.

- **Formatting:**
  - WHRP requires that the standard WHRP Power Point Template be used to prepare the project closeout presentation. The template is available for download on the Project Guidance page of the WisDOT Research website:  
<http://wisdotresearch.wi.gov/wp-content/uploads/WHRP-PowerPoint-Template.ppt>
  - All presentations should be converted to PDF format for presentation to the TOC.
  - To maintain the quality and readability of presentations, a minimum font size of 18 pt. should be used.

### **Reviewer Comments**

At a minimum, POC members will provide review of the draft final report. Comments and suggested revisions for the draft final report will be sent to the researcher 2-4 weeks after the project closeout presentation. The researcher is expected to review the comments and provide a memo to the TOC detailing how technical comments were addressed in the final report. Researchers should contact the POC Chair for clarifications or further discussion of comments.

### **Task 5: Final Report Requirements and Submission**

Providing the final research report is the last administrative responsibility of the principal investigator. In order to ensure consistency, proper identification and distribution of the research results, and to comply with FHWA requirements, researchers must make all applicable edits to the draft final report and follow the formatting and distribution requirements.

The researcher is required to submit both an electronic version and hard copies of the final report.

- **Electronic Copy:** The researcher will provide via email an electronic copy of the final report in PDF format to the WHRP Technical Director.
- **Hard Copies:** All WHRP contracts require 7 hard copies of the final report. Front and back cover stock should be used when printing the hard copies of the final report.
- **Mailing Address:** Hard copies of the final report can be mailed to the WHRP Technical Director at the address below:

Angela Pakes Ahlman  
Wisconsin Highway Research Program  
2204 Engineering Hall  
1415 Engineering Dr.  
Madison, WI 53706

Please contact the WHRP Technical Director and/or staff with questions related to preparing the final version of the research report.